

04-13-01

A

Please type a plus sign (+) inside this box →

PTO/SB/05 (08-00) (modified)

Approved for use through 9/30/2001, OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

09/834171



NEW UTILITY PATENT APPLICATION TRANSMITTAL

(only for new nonprovisional applications under
37 CFR 1.53(b))

Attorney Docket Number	22172-05507
First Named Inventor	Seth I. Merrin et al.
Title	ELECTRONIC SECURITIES MARKETPLACE HAVING INTEGRATION WITH ORDER MANAGEMENT SYSTEMS
Express Mail Label No.	EL550795642US

APPLICATION ELEMENTS		ACCOMPANYING APPLICATION PARTS	
1. <input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate)		7. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))	
2. <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27		8. <input type="checkbox"/> Certified Copy of Priority Document(s) (<i>if foreign priority is claimed</i>)	
3. <input checked="" type="checkbox"/> Specification	Total Pages <input type="text" value="34"/>	9. <input type="checkbox"/> Power of Attorney or Authorization of Agent	
(preferred arrangement set forth below)		10. <input type="checkbox"/> 37 CFR 3.73(b) Statement	
■ Descriptive Title of the Invention		11. <input type="checkbox"/> Preliminary Amendment	
■ Cross Reference(s) to Related Case(s)		12. <input type="checkbox"/> Information Disclosure Statement & PTO-1449	<input type="checkbox"/> Copies of IDS Citation(s)
■ Statement Regarding Fed sponsored R & D		13. <input checked="" type="checkbox"/> Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent	
■ Background of the Invention		14. <input checked="" type="checkbox"/> Return Postcard	
■ Brief Summary of the Invention		15. <input type="checkbox"/> _____	
■ Brief Description of the Drawing(s)		16. <input type="checkbox"/> _____	
■ Detailed Description		17. <input type="checkbox"/> _____	
■ Claim or Claims			
■ Abstract of the Disclosure			
4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113)	Total Sheets <input type="text" value="8"/>		
5. Oath or Declaration	a. <input type="checkbox"/> New Declaration	Total Pages <input type="text" value=""/>	
	<input type="checkbox"/> Executed (original or copy)		
b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) <i>(for continuation/divisional with Box 18 completed)</i>	i. <input type="checkbox"/> DELETION OF INVENTOR(S)		
	Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).		
6. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76			

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment or in an Application Data Sheet under 37 CFR 1.76:

 Continuation Divisional Continuation-in-part (CIP) of prior application No: _____ / _____

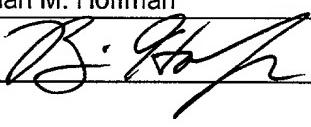
Prior application information: Examiner: _____ Group/Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuing or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

 Customer Number and Bar Code Label

00758

Name (Print/Type)	Brian M. Hoffman	Registration No. (Attorney/Agent)	39,713
Signature		Date	April 12, 2001



ADDRESS MAIL No. EL550795642US

10/27/00 PTO(modified)
Rev. 0/2000U.S. Department of Commerce
Patent and Trademark Office**FEE TRANSMITTAL****TOTAL AMOUNT OF PAYMENT**Subtotal (1) + Subtotal (2) + Subtotal (3) = **(\\$) PLEASE DEFER****Complete if Known**

Application Number	NEW
Filing Date	HEREWITH
First Named Inventor	Seth I. Merrin et al.
Group Art Unit	UNASSIGNED
Examiner Name	UNASSIGNED
Attorney Docket Number	22712-05507

METHOD OF PAYMENT**FEES CALCULATION (continued)****1. The Commissioner is hereby authorized to:**

- Charge the indicated fees to the below mentioned deposit account.
- Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account.[†]
- Applicant claims small entity status
See 37 CFR 1.27

Deposit Account Number:

Deposit Account Name: FENWICK & WEST LLP

A Duplicate Copy of this authorization is attached**2. Payment Enclosed:**
 Check Credit Card Other
3. ADDITIONAL FEES

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due
105/\$130	205/\$65	Surcharge - late filing fee or oath	
127/\$50	227/\$25	Surcharge-late provisional filing fee or cover sheet	
147/\$2,520	147/\$2,520	For filing a request for reexamination	
115/\$110	215/\$55	Extension for response within first month [†]	
116/\$390	216/\$195	Extension for response within second month [†]	
117/\$890	217/\$445	Extension for response within third month [†]	
118/\$1,390	218/\$695	Extension for response within fourth month [†]	
128/\$1,890	228/\$945	Extension for response within fifth month [†]	
119/\$310	219/\$155	Notice of Appeal	
141/\$1,240	241/\$620	Petition to revive unintentionally abandoned application	
142/\$1,240	242/\$620	Utility Issue Fee (Or Reissue)	
143/\$440	243/\$220	Design Issue Fee	
122/\$130	122/\$130	Petitions to the Commissioner	
126/\$180	126/\$180	Submission of Information Disclosure Statement	
179/\$710	279/\$355	Request for Continued Examination (RCE)	
581/\$40	581/\$40	Recording each patent assignment per property (times number of properties)	
146/\$710	246/\$355	Filing a submission after final rejection (37 CFR 1.129(a))	
149/\$710	249/\$355	For each additional invention to be examined (37 CFR 1.129(b))	
Other fee (specify):			
Other fee (specify):			
SUBTOTAL (3)			(\\$) 0

2. CLAIMS

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description
103/\$18	203/\$9	Claims in excess of 20
102/\$80	202/\$40	Independent claims in excess of 3
104/\$270	204/\$135	Multiple dependent claim
109/\$80	209/\$40	Reissue independent claims over original patent
110/\$18	210/\$9	Reissue claims in excess of 20 and over original patent

For	No. of Existing Claims	(Col. 1)	(Col. 2)	(Col. 3)	
				Highest No. Previously Paid For	Extra**
TOTAL	37		minus*	20 or 0	=
INDEP	5		minus*	3 or 0	=
[] First presentation of multiple dependent claim					

* Subtract the greater number of Col. 2

** If the difference between Col. 1 and Col. 2 is less than zero, then enter "0" in Col. 3

SUBTOTAL (2) **(\\$) 233****SUBMITTED BY**Typed or Printed Name **Brian M. Hoffman****Complete (if applicable)**Reg. Number **39,713**

Signature

Date **April 12, 2001**[†] Request for Extension of Time per 37 CFR 1.136 (a)(3) made hereby.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number

**REQUEST AND CERTIFICATION
UNDER
35 U.S.C. 122(b)(2)(B)(i)**

First Named Inventor

Seth I Merrin et al.

Title

ELECTRONIC SECURITIES MARKETPLACE HAVING
INTEGRATION WITH ORDER MANAGEMENT SYSTEMS

Atty. Docket Number

22172-05507

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

April 12, 2001

Date

Signature



Brian M. Hoffman, Reg. No. 39,713

Typed or printed name/Registration Number

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Burden Hour Statement: This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.